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MUNICIPAL ENERGY REFORM IN UKRAINE

Module 2

LEDS Action Planning Startup – Preparation
and Organization



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Convening Decisions and Strategies

LEDS Action Plan

Leadership, Justification

Directive/Order to Agencies

Goals and Objectives

Process Guidelines

Expected Outcomes

Decision Process Design

Oversight and Coordination

Participation



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Goals and Objectives

National
vision,
agency
priorities,
public
will

Align LEDS Action Planning tools and process with national priorities

Integrate 3E opportunities

Create clear commitment to progress and motivate participants

Ensure that participants in the process follow convener's direction

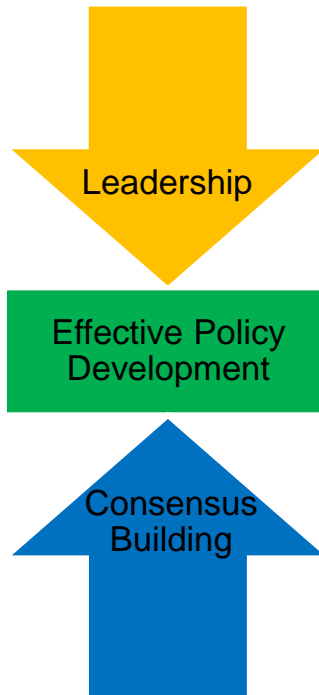
Guide the technical and policy groups in making successful decisions



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Leadership



Leadership from the highest level

- *Establishes the processes' Importance*
- *Use power to get all interested parties in the same room*
- *Provides a central authoritative vision*
- *Ensures a distraction free consensus building process*

Other leadership roles

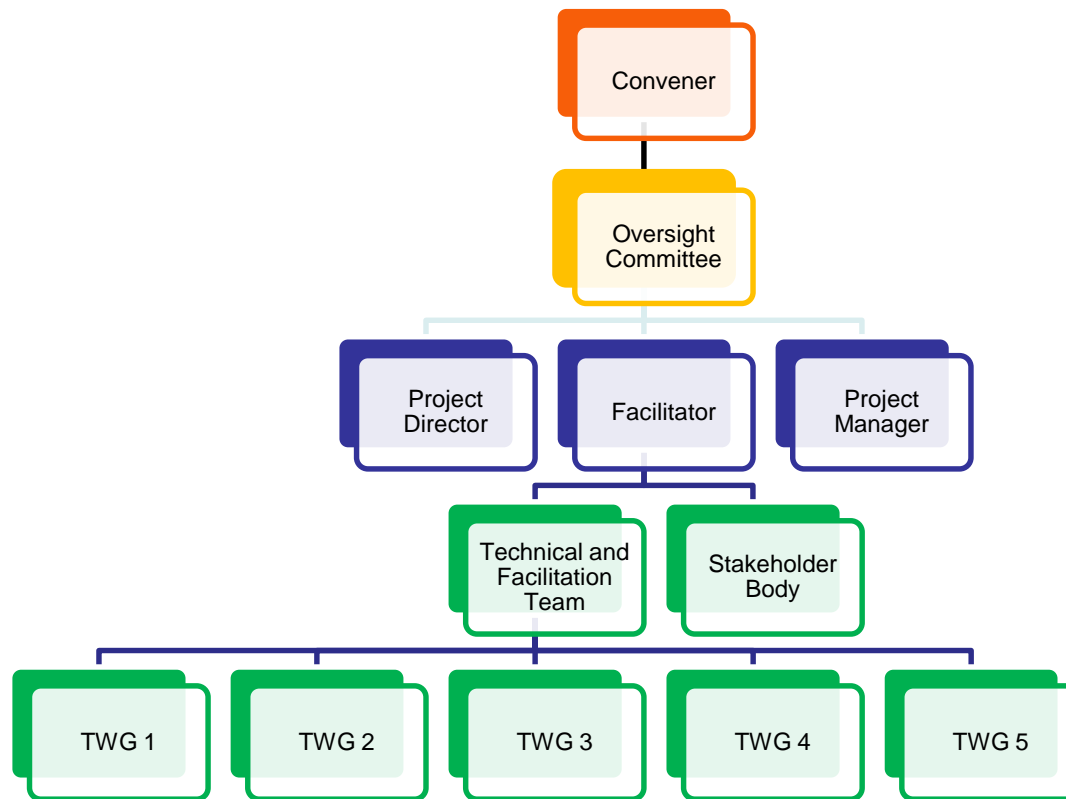
- *Steering/Oversight Committee*
- *Project Director/Chair*
- *Facilitator*
- *Project Manager*



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Organizational Structure





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Justification for LEDS Action Planning

Security and Sustainability

Immediate and long term opportunities to improve E3 issue areas

Multiple high level priorities and objectives are involved

Complex, high stakes, unsettled issues are involved

Need to bring the right parties into one room and process

Allows collaboration with multiple parties, sets an equal stage

Creates quality decisions for implementation



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Outcomes

Specific
new
conditions

Sectors, places, times, communities

Sustainable improvements to economic, energy, and environmental systems

New investment and export levels

Reduced security and conflict risks

Higher levels of public awareness and acceptance

New procedures and methods of decision making and operations

Expanded capacity



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Directive/Order to Agencies

Charter the LEDS action plan

Provides key expectations and parameters, including goals, objectives, outcomes, guidelines

Ensures priority attention and support

Ensures needed participation

Establishes pathways for recommendations

Stimulates commitment and next steps



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Florida Executive Orders

EXECUTIVE ORDER NUMBER 07-128

Establishing the Florida Governor's Action Team on Energy and Climate Change

WHEREAS, Florida has one of the nation's fastest growing populations with an average of 980 new residents arriving per day and approximately 84.6 million visitors per year; and

WHEREAS, as the fourth most populous state, Florida ranks third nationally in total energy consumption; and

WHEREAS, more than 70 percent of Florida's electricity is generated by fossil fuels which contribute to the state's carbon emissions; and

WHEREAS, Florida is encouraging alternative energy generation to promote energy diversity and reduce pollution; and

WHEREAS, with nearly 1,350 miles of coastline and a majority of citizens living near that coastline, Florida is more vulnerable to rising ocean levels and violent weather than any other state; and

EXECUTIVE ORDER NUMBER 07-127

Establishing Immediate Actions to Reduce Greenhouse Gas Emissions within Florida

WHEREAS, with nearly 1,350 miles of coastline and a majority of citizens living near that coastline, Florida is more vulnerable to rising ocean levels and violent weather than any other state; and

WHEREAS, global climate change is one of the most important issues facing the State of Florida this century; and

WHEREAS, Florida is the second fastest growing state in the union with respect to the annual increase of new greenhouse gas emissions; and

WHEREAS, immediate actions are available and required to reduce emissions of greenhouse gases within Florida; and

WHEREAS, efforts are underway at the national level to begin addressing greenhouse gas emissions; and



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End products

Interim, Final Reports

Recommendations of detailed policies, measures, and implementation mechanisms

Results of analysis and associated details of the process

Implementation schedule and plan, including financing and authority

Exchange, sharing, and communication plans

Transmittal letter to the Convener

Announcement and next steps by the Convener



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Scope

Critical to
work plan
development

Goals and objectives

Time Period

End Products

Performance metrics and decision criteria

Coverage of sectors, mechanisms

Coverage of time periods

Levels of government

Participants and roles/responsibilities

Resource needs, (in kind and external)



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Process Guidelines

Design issues

Leadership from the top

Support from the bottom up

In house and third party expertise

Focus on goals and performance metrics

Synergistic and realistic thinking on actions

Objective, technical, constructive contributions

Timely progression across tasks without backsliding



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Process Design Attributes

Comprehensive

Multi Objective

Stepwise

Fact Based

Participatory

Consensus
Driven

Implementation
Driven

Objective



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Oversight and Coordination

Ensures efficient process

Oversight is conducted by a Convener, often with the assistance of a Steering Committee or designated Process Manager

Coordination is jointly conducted by a Project Director, Facilitator, Project Manager, and the Chair to carry out the Action Plan process

The Agency and Stakeholder Group is managed by the facilitator and coordination team and responds to needs of the Convener

Additional Technical and Facilitative Assistance is provided to the Agency Stakeholder Group, and associated Technical Work Groups



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Participation

Commitment,
creativity,
quality

Convener and Oversight Body

Facilitator, Coordinator, and Project Director

Technical and Facilitative Assistance Team

Agencies, including leadership and technical levels

Stakeholders, including affected and interested parties, practitioners, innovators, champions, special communities

Additional experts as needed within sectors and issue areas

The Public



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Organizational Decisions and Strategies

Key roles and responsibilities

Appointment of Convener with endorsement by the President and or Prime Minister

Appointment of oversight/steering committee covering ministries and agencies at the highest levels (e.g. Inter Ministerial Commission)

Appointment of project director, facilitator, and coordinator (separate people) as well as facilitative and technical support team

Appointment of Government Planning Committee with agency leads, responsibilities to join non governmental stakeholders in planning

Appointment of a stakeholder and technical work group body

Interface mechanisms with Parliament to ensure collaboration



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Convener

High level
authority,
credibility

Announces and charts process, receives and acts on recommendations

Best convener is from a high level of government, such as the president or prime minister, or someone they endorse who acts as their proxy



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Stakeholder Body

Makes
nonbinding
recommend-
-ations to
convener

Collaborates with agencies and is supported by a facilitation and technical support team

Determines list of recommended policy options/mechanisms, design of each, impacts, and implementation needs

Includes diverse representatives of business, consumer groups, environmental groups, academics, government agencies, and others

Represents key affected parties, including those who implement or are affected by implementation of policies and actions, as well as experts on related issues, including practitioners



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Project Facilitator, Director, Manager

Report to Oversight Committee

Coordinate closely with each other and convener

Support Stakeholders and Technical Work Groups

Support and guide technical work group analysts and facilitators

Implement work plan in a timely manner

Supervise and support tasks and deliverables

Trouble shoot process



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Government Planning Committee

Makes
nonbinding
recommen-
dations to
the
convener

Collaborates with stakeholders with support of a technical
and facilitation support team

Provides liaison with stakeholders, other agencies

Includes agency leaders and staff

Will ultimately implement recommendations



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Technical and Facilitative Assistance Team

Supports
Agency and
Stakeholder
Body,
Technical
Work
Groups

Enable development of recommendations and results

Provide independent, objective, expert technical capacity

Provide neutral, conflict free technical facilitation

Ensure that all parties have equal access to knowledge and technique

Ensure that decisions are fully informed and accessed



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Planning and Analysis Decisions

Critical to
group
function

Consensus building model

Decision criteria & protocols

Ground rules & guidance

Communication protocols



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Consensus building model

Formal decision procedures

Explicit decision making and guidance

Impartial facilitation and technical support

Preliminary, then joint fact finding and joint policy development

Peer development of recommendations, results

Technical consensus, then policy consensus

Iteration to final, facilitated agreements

Collaborative versus adversarial process

Seeks but does not mandate consensus



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Decision Criteria and Protocols

**Follow
directive,
work
plan**

Related to LEDS goals, address the translation of goals and objectives

Coverage, contents, and expansion of catalogs of actions

Coverage of baselines

Prioritization of draft policy/mechanism options

Design of individual draft policy/mechanism

Focal points of impact analysis

Focal points of implementation strategy



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Communication Protocols

Maintain order and productivity

Convener solely responsible for speaking on behalf of process

Project Director and or Coordinator and Facilitator are responsible for overseeing group communications

Facilitator(s) responsible for document production, distribution among stakeholders, technical work groups

Stakeholders and agencies should be supportive of the process, and provide their views within the process through specific tools

Participants should not seek to overturn group decisions through outside appeals or step outside process

Decisions are draft until finalized

Recommendations are nonbinding



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Participant Ground Rules

Critical to group decision making

Participants must agree to support the LEDS Process even if they disagree on issues and actions

Participants should be appropriately diverse and high level

Interventions in discussion should be constructive and specific

The process should proceed in a timely fashion from one step to the next without backsliding

Roles and responsibilities should be clear and respected



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Work Plan Decisions and Templates

Critical Elements

Goals and Objectives – initial, interim, final, medium-term, long-term
(covered in more detail in Module 3)

End products – report with recommendations on results, detailed policies and measures, implementation mechanism and plan

Tasks and Deliverables -- preliminary tasks, launch, conduct, conclusion

Timing and milestones

Participants -- agencies, stakeholders, technical work groups, third parties, public, observers, facilitation and technical team guidance

Roles and responsibilities – capacity needs and barriers, decision makers, technical and facilitative support, observers guidance

Budget and Funding needs, barriers, and templates



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Tasks and Deliverables

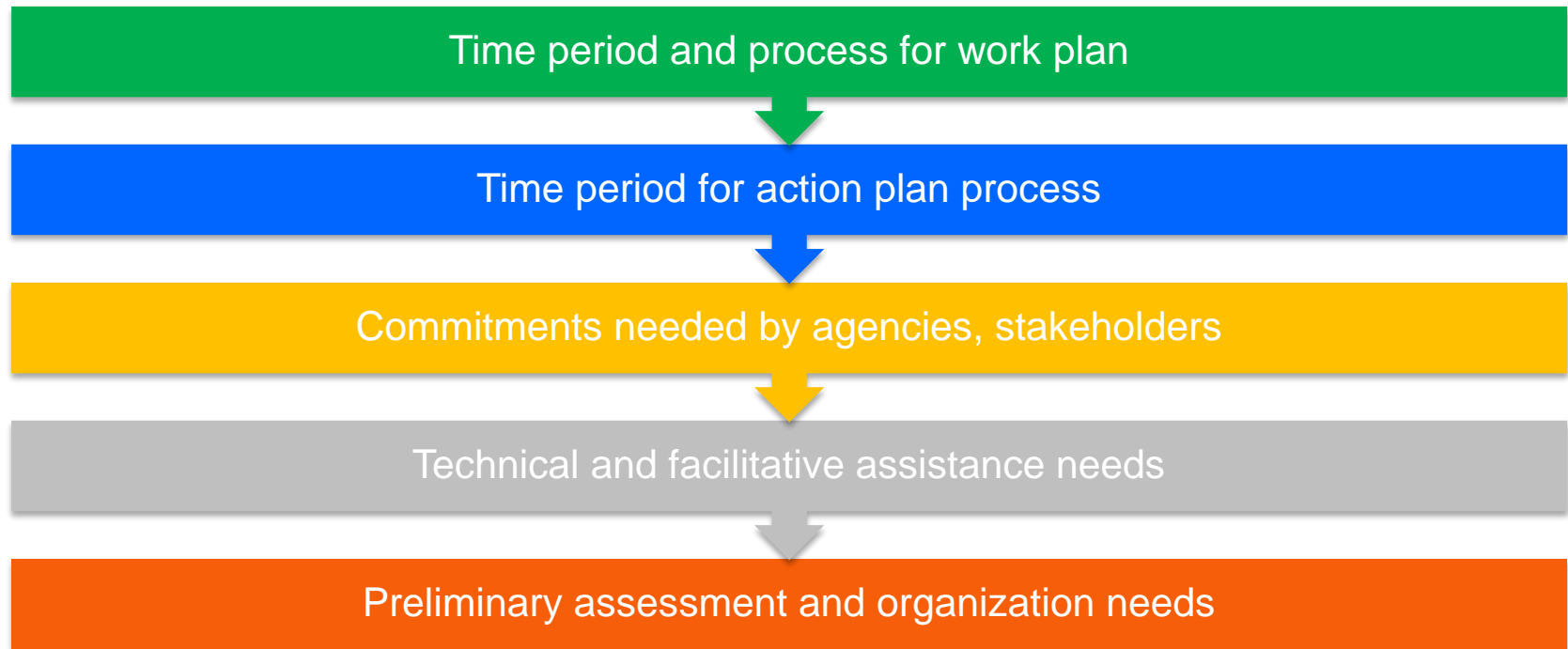
Step	Tasks and Deliverables
Startup	Directive/Executive Order, Work Plan
Baselines	Draft Inventory/Forecast Assessment, Inputs to Toolkit Component 1
Policy Options	Draft Catalog of Actions/Databases of Options, Inputs to Toolkit Component 2
Draft Priorities	Multi Criteria Analysis Results, Draft Policy Options, Inputs to Toolkit Component 2
Policy Option Designs	Draft Policy Option Designs, Inputs to Toolkit Component 2
Micro Direct Impacts	Customized Analysis for Individual Policy Options, Inputs to Toolkit Component 3
Integration	Integrated Impacts of Policy Options, Inputs to Toolkit Component 3
Macro Indirect Impacts	Macroeconomic Impacts of Individual, Aggregate Policy Options, Input to Toolkit Component 3
Recommendations	Interim and Final Reports, Transmittal Letter
Implementation	Plan (Assignment of Lead, Authority, Funds, Schedule to Each Recommendation)



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Exercises





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Exercise: Timing and Milestones?

Task	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8
Startup								
Baselines								
Policy Options								
Draft Priorities								
Policy Option Designs								
Micro Direct Impacts								
Integration								
Macro Indirect Impacts								
Recommendations								
Implementation								



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Exercise: Participants?

	Agency Leaders	Agency Programs	Industry, Commerce	Civil Society	Local Agencies	Parliament	Research, Education
Energy Supply	?	?	?	?	?	?	?
Industry	?	?	?	?	?	?	?
Commercial	?	?	?	?	?	?	?
Residential	?	?	?	?	?	?	?
Institutional	?	?	?	?	?	?	?
Transportation	?	?	?	?	?	?	?
Agriculture	?	?	?	?	?	?	?
Forestry	?	?	?	?	?	?	?
Waste	?	?	?	?	?	?	?
Cross Cutting	?	?	?	?	?	?	?



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Exercise: Budget and Funding?

Task	Labor	Travel	ODC's	G&A	Total
Startup	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Baselines	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Policy Options	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Draft Priorities	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Policy Option Designs	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Micro Direct Impacts	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Integration	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Macro Indirect Impacts	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Recommendations	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Implementation	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours
Total	\$ or hours	\$ or hours	\$ or hours	\$ or hours	\$ or hours



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Exercise: Roles and Responsibilities?

Title	Role	Responsibility
Convener	?	?
Steering Committee	?	?
Chair	?	?
Project Director/Coordinator	?	?
Agency/Stakeholder Group Facilitator	?	?
Project Manager	?	?
Agency/Stakeholder Group	?	?
Technical Work Groups	?	?
Technical Work Group Facilitators	?	?
Technical Work Group Analysts	?	?
Communications Support Team	?	?



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Exercise: Roles and Responsibilities?

